

ADMINISTRATIVE MEMORANDUM

SUBJECT *Policy and Procedures for the Performance Review
 of the Chancellors of the Constituent Institutions
 of the University of North Carolina*

NUMBER 381

DATE June 1, 1998

At its meeting on March 12, 1998, the Board of Governors of the University of North Carolina adopted a document entitled, "Policy and Procedures for the Performance Reviews of the President, Chancellors, and the UNC Governing Boards." The new policy supersedes an earlier policy concerning a comprehensive assessment process which was adopted by the Board of Governors on July 12, 1996.

The Board policy calls for performance reviews of chancellors to begin in 1998. The reviews will involve the following steps: (1) an annual review with the President; and (2) a review in even numbered years by the Board of Trustees. Every four years, the latter will be a comprehensive review conducted by the Board of Trustees and involving major campus constituents, such as faculty, students, and staff. Beginning in 1998, and every two years thereafter, a chancellor review will occur, alternating biennially between the review by the Board of Trustees and the comprehensive review involving broader constituencies.

The objectives of the performance reviews are to build and sustain effective relationships with the University's constituents, promote consensus building and group strength, and develop strategic directions for achieving the mission of the campus and the University. Properly conducted, regular and systematic performance reviews help boards and chief executives to fulfill their respective roles and responsibilities more effectively. **The most important goal of such reviews is the opportunity for professional reflection and development.**

Attached as an integral part of this memorandum is a set of policies and procedures for the chancellors' performance reviews, which outlines an implementation schedule, the criteria, and the procedures and timetable for the review.

Performance reviews of chancellors are deemed personnel actions and shall be conducted in closed session pursuant to North Carolina General Statute Section 143-318.11(a)(6).


Molly Corbett Broad

Attachments

**POLICY AND PROCEDURES FOR PERFORMANCE REVIEWS
OF THE CHANCELLORS OF THE CONSTITUENT
INSTITUTIONS OF THE UNIVERSITY OF NORTH CAROLINA**

BACKGROUND

During the spring of 1995, the Presidential Assessment Committee recommended that the Board of Governors develop a comprehensive assessment process for the Board of Governors, the Boards of Trustees, *and for the respective chief executives* within the University of North Carolina. In response, the Board of Governors created a special committee on the University's Assessment Process, to prepare a report to the Board.

The committee's report, entitled "Assessment Process for the Chief Executives and Governing Boards of the University of North Carolina," was approved by the Board of Governors on July 12, 1996. The report called for the assessment of the performance of the president and of the chancellors in even-numbered years and for self-assessments by the Board of Governors and the Boards of Trustees in odd-numbered years.

The procedures contained in this memorandum are derived from that July 1996 policy action and are designed to initiate implementation of performance reviews of chancellors in 1998. *This supersedes the previously adopted policy. The Board of Governors adopted the current policy on March 12, 1998.*

PURPOSE OF THE REVIEWS

The objectives of the performance reviews are to build and sustain effective relationships with the University's constituents, promote consensus building and group strength, and develop strategic directions for achieving the mission of the campus and the University. Properly conducted, regular and systematic performance reviews help boards and chief executives to fulfill their respective roles and responsibilities more effectively. **The most important goal of such reviews is the opportunity for professional reflection and development.**

Performance reviews of chancellors are deemed personnel actions and shall be conducted in closed session pursuant to North Carolina General Statute Section 143-318.11(a)(6).

IMPLEMENTATION SCHEDULE

Performance reviews of chancellors will consist of: (1) an annual review with the President; and (2) a review in even numbered years by the Board of Trustees. Every four years, the latter will be a comprehensive review conducted by the Board of Trustees and involving major campus constituents, such as faculty, students, and staff. Beginning in 1998, and every two years thereafter, a chancellor review will occur, alternating biennially between the review by the Board of Trustees and the comprehensive review involving broader constituencies.

In 1998, the following six campuses will conduct the review by the Board of Trustees, and in 2000, these same campuses will conduct a comprehensive review:

North Carolina Central University
University of North Carolina at Asheville
University of North Carolina at Chapel Hill
University of North Carolina at Charlotte
Western Carolina University
Winston Salem State University

In 1998, the following ten campuses will conduct the comprehensive review of the chancellor's performance, and in 2000, these same campuses will conduct a review by the Board of Trustees:

Appalachian State University
 East Carolina University
 Elizabeth City State University
 Fayetteville State University
 North Carolina A&T State University
 North Carolina School of the Arts
 North Carolina State University
 University of North Carolina at Greensboro
 University of North Carolina at Pembroke
 University of North Carolina at Wilmington

In view of recent or impending changes in the chancellorship, North Carolina State University and North Carolina A&T State University will not conduct chancellor performance reviews in 1998. The North Carolina State University Board of Trustees will do so in the year 2000, and will continue to follow the regular cycle thereafter. If a new chancellor has been in office for at least one academic year at North Carolina A&T State University, the institution's Board of Trustees will also conduct a review of the chancellor's performance in the year 2000, and will continue to do so on the regular cycle thereafter.

See *Attachment 1* for the schedule for chancellors' performance reviews for 1998, 2000, and 2002.

CRITERIA FOR PERFORMANCE REVIEWS:

The review of a chancellor's performance should address every major area of his or her responsibility, including the following:

1. General administrative effectiveness in managing the human, fiscal, and physical resources of the institution;
2. Educational leadership and effectiveness;
3. Major achievements and progress toward campus goals;
4. Working relationships within the overall University of North Carolina and on the chancellor's campus;
5. University advancement; and
6. Personal attributes.

While there is no single instrument prescribed for use in the reviews, Attachment 2 is a questionnaire that addresses all of the major areas to be reviewed. This questionnaire provides a valuable and comprehensive starting point for the review process. Institutions may recast the questionnaire into survey instruments appropriate to the type of review being conducted.

Attachment 3 is a *sample* survey instrument which may be used for trustees and other constituencies. Some modifications, e.g., identification of institution, instructions, etc., would be necessary in order to use this form. If an institution wishes to have this *sample* instrument in a form for optical scanning, so that it may be adapted and printed for use, this office can make it available on a diskette. If you would like to have this, please call Morris Dean, (919) 962-4597 here in this office.

REVIEW PROCESS

Annual Chancellor Review with the President

During the fall semester, each chancellor will review with the president major goals and priorities of the campus and progress made toward achieving them, as part of a general assessment process. A brief summary of goals and a self-evaluation will be produced by each chancellor.

Procedure:

The President's Office will contact the Chancellor's office and establish these appointments.

Board of Trustees Biennial Review

The Board of Trustees will conduct a review of the chancellor's performance, using a general common protocol. The chairman of the Board of Trustees will consult with the president as the review is initiated and will share a written summary of the results with the president. Where feasible, a meeting of the chancellor, president, and trustee chairman will be scheduled. The review will be completed in time to inform the president in advance of the November review of the president by the Board of Governors, in order to provide information to the Board of Governors on the accomplishments and goals of each chancellor on a more regular basis.

Procedure and Timetable:

In June 1998, the Board of Trustees will convene a committee to conduct a review of the chancellor in accordance with the criteria noted above. Some Boards of Trustees may have begun the process earlier. In subsequent years the Boards of Trustees will initiate its biennial review in April. The committee will identify the protocol instrument to guide this evaluation.

In July or August 1998, the chair of the Board of Trustees will consult with Dr. Roy Carroll, the Senior Vice President. Dr. Carroll will assist the chair in the preparation of a summary of the chancellor performance review to be submitted to the President by no later than August 28, 1998. In subsequent years, this will be done in June, with the summary due by June 30.

Within one month of receipt of the summary report, the president will meet with the chair of the Board of Trustees and the chancellor. The Senior Vice President will arrange this appointment.

At the first meeting of the Board of Trustees during the fall semester, the chair of the chancellor performance review committee shall report the results of the review to the full Board of Trustees in closed session.

Comprehensive Quadrennial Review

Every four years, the performance review of the chancellor shall be expanded, under the auspices of the Board of Trustees and the president, to include an opportunity for the primary campus constituencies to participate by responding to a letter or survey, using a common protocol. During the comprehensive review, a small committee composed of trustees and a representative from the Board of Governors, perhaps augmented by a consultant, will undertake interviews and a campus visit as a part of its overall report. In addition to the reporting process to the Board of Trustees, a meeting of the chancellor, president, and a representative of the Board of Governors and Board of Trustees would be followed by a summary report to the Board of Governors in closed session. This protocol will provide more comprehensive information to the Board of Governors on the goals and accomplishments of each chancellor on a periodic basis. A public summary report may be issued at the conclusion of this process.

Procedure and Timetable for 1998:

In June 1998, the comprehensive review team, composed of trustees (appointed by the Board of Trustees chair), and a member of the Board of Governors (appointed by the Board of Governors chair), shall convene to plan the review process in accordance with the criteria noted above. The team will identify the survey and/or protocol instrument to guide this evaluation. Consultants may assist in this review.

During the summer, the team will conduct interviews of and survey the trustees. Between August 15 and October 15 the team will conduct interviews of and survey major campus constituencies. Following the interviews and surveys, the chair of the review team will consult with the Senior Vice President in the General Administration. Together they shall arrange for the preparation of a summary report, which should be submitted to the President by October 31.

In October and November, the chair of the Board of Trustees, the chancellor and the Board of Governors' team member shall consult with the president about the results of the review process. The Senior Vice President will arrange this appointment.

At the November meeting of the Board of Governors, the president will share information on chancellors' performance reviews in the meeting with the Presidential Assessment Committee.

Procedure and Timetable for 2000:

The procedure and timetable for the quadrennial comprehensive reviews will be revised for the year 2000 and subsequent years.

RELATED REVIEWS

The July 1996 policy of the Board of Governors also calls for self-assessment by the Board of Governors and the Boards of Trustees in odd-numbered years as a companion to the performance review of the chancellors and president in even-numbered years. These self assessments by the respective governing boards will begin in 1999. The policy and procedures to be followed will be outlined in a memorandum to be distributed later this year.

Schedule for Chancellors' Performance Reviews, 1998-2002

1998		2000		2002	
Bd/Trustees	Comprehensive	Bd/Trustees	Comprehensive	Bd/Trustees	Comprehensive
	ASU	ASU			ASU
	ECU ¹	ECU			ECU
	ECSU	ECSU			ECSU
	FSU	FSU			FSU
	NCA&T ²	NCA&T			NCA&T
NCCU			NCCU	NCCU	
	NCSA	NCSA			NCSA
	NCSU ³	NCSU			NCSU
UNCA			UNCA	UNCA	
UNC-CH			UNC-CH	UNC-CH	
UNCC			UNCC	UNCC	
	UNC-G	UNC-G			UNC-G
	UNCP ¹	UNCP			UNCP
	UNCW ¹	UNCW			UNCW
WCU			WCU	WCU	
WSSU			WSSU	WSSU	

1. For this cycle, the comprehensive review at East Carolina University, the University of North Carolina at Pembroke, and the University of North Carolina at Wilmington will consist of an existing faculty review augmented by a Board of Trustees review.

2. North Carolina A&T State University is exempted from the 1998 review because the current chancellor is retiring, and a new chancellor will not be appointed until 1999 at the earliest. If a new chancellor is in place for a sufficient period of time, there will be a chancellor review by the Board of Trustees in the year 2000 and on a regular biennial cycle thereafter.

3. North Carolina State University is exempted from the 1998 review since a new chancellor has just been appointed. However, the chancellor review by the Board of Trustees will begin in the year 2000 and continue on the regular cycle.

CRITERIA AND QUESTIONNAIRE FOR PERFORMANCE REVIEWS OF CHANCELLORS

GENERAL ADMINISTRATIVE EFFECTIVENESS

(Management of human, fiscal, and physical resources)

1. Please rate the chancellor's effectiveness in:
 - Planning
 - Decision making
 - Solving problems
 - Leading change
 - Linking plans and actions
 - Developing a management team
 - Delegating responsibility
2. Please rate the chancellor's commitment to academic values and university goals

EDUCATIONAL LEADERSHIP AND EFFECTIVENESS

1. Campus operations show that plans meeting long-range needs are:
 - Developed
 - Maintained
 - Renewed
2. The chancellor provides leadership and support for:
 - Periodic evaluation of educational programs and accomplishments
 - An environment that stimulates
 - Teaching
 - Learning
 - Research and scholarship
 - Professional development of faculty and staff
 - Educational ideas and innovations that enhance the learning environment

PROGRESS TOWARD CAMPUS GOALS

1. Campus plans are being implemented
2. Existing goals and objectives are being met

WORKING RELATIONSHIP WITHIN THE UNIVERSITY OF NORTH CAROLINA AND ON THE CAMPUS

1. The chancellor:
 - Understands the overall mission of the 16-campus University
 - Contributes to its leadership
 - Participates constructively in addressing university-wide academic and administrative matters
2. The chancellor has established a credible administrative team
3. The chancellor encourages and supports open lines of communication throughout the university
4. Consultation and participation are encouraged and valued
5. The chancellor effectively promotes a sense of community

UNIVERSITY ADVANCEMENT

1. There is solid evidence of community understanding and support for the campus
2. The chancellor establishes and maintains constructive relations with the media
3. The chancellor provides leadership and supports effective institutional advancement programs including fund-raising and alumni programs
4. The chancellor effectively enhances the local, regional, and national reputation of the institution

PERSONAL ATTRIBUTES

1. How well does the chancellor:
 - Articulate concepts and initiatives?
 - Build a strong sense of team?
 - Solve problems effectively?
 - Solve problems innovatively?
 - Take into account the public relations and political implications of actions?
 - Deal with many different problems and events simultaneously?
 - Withstand criticism and direct opposition into productive channels?
 - Understand issues and facts before making decisions?
 - Get to the central issues in complex problems?
 - Promote coordination and efficiency in programs and operation?
2. The operations of the campus give positive evidence of the chancellor's knowledge of the job, judgment, leadership, flexibility, planning and organizational skills, vision, human relations and communications skills, objectivity, and fairness

****SAMPLE****

CRITERIA AND QUESTIONNAIRE FOR PERFORMANCE REVIEWS OF CHANCELLORS

Introductory remarks about the questionnaire
to those being asked to complete it

GENERAL ADMINISTRATIVE EFFECTIVENESS

(Management of human, fiscal, and
physical resources)

1. Please rate the chancellor's
effectiveness in:

- Planning
- Decision making
- Solving problems
- Leading change
- Linking plans and actions
- Developing a management team
- Delegating responsibility

Excellent	Good	Fair	Poor	Don't know
5	4	3	2	1
5	4	3	2	1
5	4	3	2	1
5	4	3	2	1
5	4	3	2	1
5	4	3	2	1
5	4	3	2	1

2. Please rate the chancellor's commitment
to academic values and university goals

5	4	3	2	1
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EDUCATIONAL LEADERSHIP AND EFFECTIVENESS

1. Campus operations show that plans
meeting long-range needs are:

- Developed
- Maintained
- Renewed

Very well	Adequately	Minimally	Poorly	Don't know
5	4	3	2	1
5	4	3	2	1
5	4	3	2	1

2. The chancellor provides leadership and
support for:

- Periodic evaluation of educational
programs and accomplishments
- An environment that stimulates
 - Teaching
 - Learning
 - Research and scholarship
 - Professional development
of faculty and staff
- Educational ideas and innovations that
enhance the learning environment

5	4	3	2	1
5	4	3	2	1
5	4	3	2	1
5	4	3	2	1
5	4	3	2	1
5	4	3	2	1

MARKING INSTRUCTIONS

- Use a No. 2 pencil only.
- Do not use ink, ballpoint, or felt tip pens.
- Make solid marks that fill the response completely.
- Erase cleanly any marks you wish to change.
- Make no stray marks on this form.

CORRECT: ● INCORRECT: ☑ ☒ ☓ ☔

PROGRESS TOWARD CAMPUS GOALS

1. Campus plans are being implemented
2. Existing goals and objectives are being
met

Very well	Adequately	Minimally	Poorly	Don't know
5	4	3	2	1
5	4	3	2	1

WORKING RELATIONSHIP WITHIN THE UNIVERSITY OF NORTH CAROLINA AND ON THE CAMPUS

1. The chancellor:

- Understands the overall mission of the
16-campus University
- Contributes to its leadership
- Participates constructively in
addressing university-wide academic
and administrative matters

Very well	Adequately	Minimally	Poorly	Don't know
5	4	3	2	1
5	4	3	2	1
5	4	3	2	1

2. The chancellor has established a credible
administrative team

5 Strongly agree 3 Disagree 1 Don't know
4 Agree 2 Strongly disagree

3 The chancellor encourages and supports
open lines of communication throughout
the university

Very well	Adequately	Minimally	Poorly	Don't know
5	4	3	2	1

4. Consultation and participation are
encouraged and valued

5	4	3	2	1
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5. The chancellor effectively promotes a
sense of community

5	4	3	2	1
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UNIVERSITY ADVANCEMENT

There is solid evidence of community understanding and support for the campus

- ⑤ Strongly agree ③ Disagree ① Don't know
 ④ Agree ② Strongly disagree

- | | Very well | Adequately | Minimally | Poorly | Don't know |
|--|-----------|------------|-----------|--------|------------|
| 2. The chancellor establishes and maintains constructive relations with the media | ⑤ | ④ | ③ | ② | ① |
| 3. The chancellor provides leadership and supports effective institutional advancement programs including fund-raising and alumni programs | ⑤ | ④ | ③ | ② | ① |
| 4. The chancellor effectively enhances the local, regional, and national reputation of the institution | ⑤ | ④ | ③ | ② | ① |

PERSONAL ATTRIBUTES

- | | Very well | Adequately | Minimally | Poorly | Don't know |
|--|-----------|------------|-----------|--------|------------|
| 1. How well does the chancellor: | | | | | |
| • Articulate concepts and initiatives? | ⑤ | ④ | ③ | ② | ① |
| • Build a strong sense of team? | ⑤ | ④ | ③ | ② | ① |
| • Solve problems effectively? | ⑤ | ④ | ③ | ② | ① |
| • Solve problems innovatively? | ⑤ | ④ | ③ | ② | ① |
| • Take into account the public relations and political implications of actions? | ⑤ | ④ | ③ | ② | ① |
| • Deal with many different problems and events simultaneously? | ⑤ | ④ | ③ | ② | ① |
| • Withstand criticism and direct opposition into productive channels? | ⑤ | ④ | ③ | ② | ① |
| • Understand issues and facts before making decisions? | ⑤ | ④ | ③ | ② | ① |
| • Get to the central issues in complex problems? | ⑤ | ④ | ③ | ② | ① |
| • Promote coordination and efficiency in programs and operation? | ⑤ | ④ | ③ | ② | ① |
| 2. The operations of the campus give positive evidence of the chancellor's knowledge of the job, judgment, leadership, flexibility, planning and organizational skills, vision, human relations and communications skills, objectivity, and fairness | | | | | |

- ⑤ Strongly agree ③ Disagree ① Don't know
 ④ Agree ② Strongly disagree

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